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PATENT TRADEMARK OFFICE

Attorney Docket 103.1009.09

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Kleiman

Serial No. 09/960,592

Filed: 9/21/2001

For: File Server Storage Arrangement

Art Unit: NYA

Examiner: NYA

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CERTIFICATE OF MAILING

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Assistant Commissioner for Patents  
Washington, D.C. 20231

on 10-15-01 by  
Date

Arlette Malhas, Paralegal

**INFORMATION DISCLOSURE STATEMENT**

Honorable Assistant Commissioner  
for Patents  
Washington, D.C. 20231

Dear Sir:

This Information Disclosure Statement is submitted under:

- ☒ 37 CFR 1.97(b)  
(Within three months of the national application filing or the entry of international application, OR before the mailing date of first Office Action, whichever occurs last.)
- ☐ 37 CFR 1.97(c) together with either a:
- ☐ Statement under 37 CFR 1.97(e)  
or ☐ \$180.00 fee set forth in 37 CFR 1.17(p)  
(After the CFR 1.97(b) time period, but before final Office Action or Notice of Allowance, whichever occurs first.)
- ☐ 37 CFR 1.97(d) together with a:
- ☐ Statement under 37 CFR 1.97(e)  
and ☐ \$180.00 fee set forth in 37 CFR 1.17(p)  
(After the CFR 1.97(c) time period, but before payment of the Issue fee.)

### List of Documents

Applicant(s) submits herewith:

- ☒ Form PTO SB/08A (Information Disclosure Statement by Applicant) listing patent document(s) of which applicant(s) believes might be material to the examination of this application and for which there might be a duty to disclose in accordance with 37 CFR 1.56.
- ☐ Form PTO SB/08B (Information Disclosure Statement by Applicant) listing non-patent document(s) of which applicant(s) believes might be material to the examination of this application and for which there might be a duty to disclose in accordance with 37 CFR 1.56.

### Copies of Documents

- ☒ Applicant(s) submits herewith copies of all listed documents.
- ☐ Copies of the listed documents are not included with this filing. Copies of these documents were previously submitted in the following related application:

Docket No.: \_\_\_\_\_  
Serial No.: \_\_\_\_\_  
Filed: \_\_\_\_\_

THE EXAMINER IS ENCOURAGED AND EXHORTED TO MAKE HIS OR HER OWN INDEPENDENT EVALUATION OF POSSIBLE RELEVANCE OF THE LISTED DOCUMENTS.

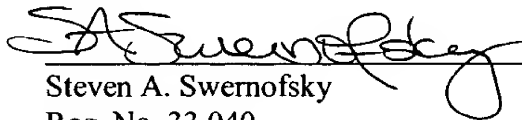
At the present time, Applicant(s) submits that the listed document(s), taken alone or in combination, neither anticipate nor render obvious the present invention. Consideration of the foregoing in relation to this application is respectfully requested.

In the event fees are required, authorization is hereby granted to charge these fees to Deposit Account No. 50-0365.

It is requested that the information disclosed herein be made of record in this application.

Respectfully submitted,

Date: 10-15-2001

  
Steven A. Swernofsky  
Reg. No. 33,040

Swernofsky Law Group  
P.O. Box 390013  
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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031  
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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Application Number 09/960,592

Filing Date Sep 21, 2001

First Named Inventor Kleiman

Group Art Unit NYA

Examiner Name NYA

Total Number of Pages in This Submission

4+

Attorney Docket Number 103.1009.09

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**ENCLOSURES (check all that apply)**

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment / Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/  
Incomplete Application
- ☐ Response to Missing  
Parts under 37 CFR  
1.52 or 1.53

- ☐ Assignment Papers  
(for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert a  
Provisional Application
- ☐ Power of Attorney, Revocation  
Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to  
Group
- ☐ Appeal Communication to Board of  
Appeals and Interferences
- ☐ Appeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- Other Enclosure(s)  
(please identify below):
- ☒ Form SB/08A  
Copies of References  
Return Postcard

Remarks

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Steven A. Swernofsky	Reg. no. 33,040
Signature		
Date	10-15-2001	

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Type or printed name Arlette Malhas, Paralegal

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